

## **Consultant Instructions for Completion of DBE PARTICIPATION REPORTING ONLINE Tool**

### **General Information**

Within DelDOT, there is a Civil Rights Section which oversees DelDOT's DBE Program, conducts project monitoring and reporting for civil rights regulatory compliance. This Section exists pursuant to 23 CFR §200.9 and other regulations. As a recipient of federal funds, DelDOT is tasked with monitoring and reviewing payments made by prime contractors/consultants to all their subcontractors/sub-consultants. To accomplish this task, consultant firms performing work on federally-funded tasks or agreements will be required to complete and submit monthly DBE Participation Reports via an online reporting tool.

To assist with our monitoring and reviewing responsibilities for professional services agreements and tasks, DelDOT has developed this online DBE Participation Reporting process for consultants. These instructions will be provided to designated consultant personnel on all professional services agreements with federally funded tasks. The purpose of this reporting process is to capture specific agreement- and task-related data regarding payments made to prime consultants and sub-consultants performing work on a project or agreement funded with federal funds, in whole or in part. Collection of this data is necessary for DelDOT, as a recipient of federal funds, to monitor, review, and utilize actual DBE participation levels in setting DBE goals and reporting DBE participation to FHWA and FTA, as well as to ensure timely payments to all sub-consultants.

Federal regulations have long been in place requiring the collection and analysis of such data as part of the DBE Program requirements. The federal fiscal year, which begins October 1<sup>st</sup> of each year, will be the timing mechanism for this report process. Therefore, this reporting responsibility will be initiated with the first quarter of Federal Fiscal Year 2011, which begins on October 1, 2010. Pilot implementation will begin with October 2010. For new consultant agreements, this responsibility will begin with the first full month for which any active work is done under the agreement. Completing the online process will be required no later than the 5<sup>th</sup> calendar day of the month following the report month. If no payments were made to the prime consultant on any tasks under an agreement during the report month, then an e-mail needs to be sent, to the Civil Rights Section, to that effect.

All professional services firms with agreements with DelDOT will be assigned unique user names and passwords which will permit access to the on-line reporting process for the agreement which they have with DelDOT.

# DBE Participation Reporting Tool

## Step 1

Prime consultant firms will access all open agreements they have with DelDOT by logging into the online DBE Participation Report tool using the user name and password assigned. For each agreement that the consultant firm has, there will a record maintained in the online tool. The first screen will offer two actions: 1) to create a monthly report; or 2) to view history of monthly reports. (see figure 1) Consultant firm personnel responsible for completing the report will select the agreement for which they are seeking to create a monthly report and input payment data by clicking on the appropriate icon. This will open the agreement window. (See Figure 2) Where a consultant firm has more than one open agreement with DelDOT, input and report creation will be required for each agreement for which there has been any active work done or payment made in the report month.



← Figure 1.

The screenshot displays the 'agreement overview window of a new report'. It features a header for 'Report Information for DelDOT Agreement 110'. Below this is a table with four columns: 'Report Date', 'Consultant', 'Address', and 'Phone Number'. The data row shows '09/27/2010', 'Carla Elliott', '800 S Bay Road Dover, DE 19901', and '756-2355'. Below the table is a section titled 'Specific Task Information' with a table that has columns for 'Task', 'Job #', 'Job Paid to', 'Subcontractor / DBE Pay', 'Job Paid to', 'Job Paid to', 'Job Paid to', and 'Action'. A note below the table states: 'No Task Information has been provided to begin reporting on tasks, click the Add Task Info button.' At the bottom, there is a text area for 'Whenever exceptions are entered or cumulative amounts override, please provide an explanation below. Be sure to hit "Save Comments" when done.'

Figure 2. This is the agreement overview window of a new report. As data is input and saved, it will be reflected here.

## Step 2.

Once an agreement has been selected and the agreement window has been opened the consultant firm personnel responsible for completing the report will click on the “Add Task Info” button. This will open a window that will allow input of information for the task selected for that particular consultant agreement. The “Add Task Info” window will allow the responsible consultant firm personnel to select specific tasks for which to input payment data. The DBE goal for the task should be input in whole numbers (without adding the decimal point). This entry is required for all tasks, even if the DBE goal is 0% and will only be required once for each task entered. The amount paid to the prime consultant for the task for the reporting month should be input exactly using the decimal point. Selecting the subcontractor will generally be done by using the drop down box shown. Information should be entered for each subcontractor (business entity under subcontract to the prime consultant) to which the prime consultant made payment. Once data is entered, click the save button.

← Figure 3. The various boxes should be filled in with information related to the individual business entity that was paid as a subcontractor, specifically the amount paid to that subcontractor in the reporting month. *For the first entry under an already existing agreement and task, the cumulative amount paid to the prime consultant also needs to be input. For subsequent reports that amount should be generated.*

Figure 4. For each additional subcontractor to which payment was made, new payment information should be input.

### Step 3.

Clicking the save button will return to the agreement overview window and the saved data should be reflected. The consultant firm personnel responsible for completing the report should repeat the process, **remembering to select the task number each time**, selecting each subcontractor to which payment was made, inputting payment information for each subcontractor and saving the data. In those situations where the task has a subscript (i.e. Task 7a) data should be included for the task number. So data for Task 7 and Task 7a under an agreement should be input under Task 7. To correct or edit entries saved, the consultant firm personnel responsible for completing the report can click on one of the action icons (circled below). This will permit deletion or editing of task and subcontractor information. Reporting should be done for each task under an agreement for which work was done and/or payment was made to the prime consultant for the report month. As each entry is saved, the information will appear under the selected agreement and task.




Delaware Department of Transportation

DBE Participation Reporting Online

**Report Information for DelDOT Agreement 110**

Report Date	Consultant	Address	Phone Number
09/27/2010	Carla Elliott	800 S Bay Road Dover, DE 19901	760-2555

**Specific Task Information**

Task	DBE % Goal	Amt Paid to Prime	Subcontractor / DBE Flag	Amt Paid to Sub	Cum Paid to Prime	Cum Paid to DBE	Actions
1 - getting started	6.00%	1,000.00	AMIN PLUMBING & GENERAL CONTRACTING /	50.00	1,000.00	50.00	 
			Wile E Coyote Engineering Inc. / N	275.00			 
2 - State Street design	10.00%	50,000.00	Tennis-R-U's / N	2,562.00	50,000.00	0.00	 

Whenever exceptions are entered or cumulative amounts overidden, please provide an explanation below:  
Be sure to hit "Save Comments" when done.

NOTE: Submitting this document containing information that is not true may constitute additional criminal offenses, in addition to those set out in 17 Del. C. Ch. 8.

Figure 5.

To input additional subcontractors, click the “Add Subcontractor on Task” button and **select the task number** using the first drop down box. Then open the drop down box for selecting a subcontractor and click on “OTHER”. This will open a box and the subcontractor name should be entered in that box. Unlisted subcontractors will, by default be designated as non-DBE next to that box (N). This designation should be changed to yes **only** when the prime contractor is sure the unlisted subcontractor is certified as a DBE with DelDOT. The amount paid to the added subcontractor should be entered in the “Paid to Sub” box. Once entered the data should be saved.

The screenshot shows the 'DelDOT DBE Participation Reporting Online' interface. A modal dialog box titled 'Add Subcontractor on Task' is open. It contains the following fields: 'Task No.' (with a dropdown menu showing '1 - Civil Rights Training/Development'), 'Subcontractor' (with a dropdown menu showing 'OTHER'), 'Paid to Sub' (a text input field), 'Cumulative Paid to Sub' (a text input field), and 'Cumulative Paid to DBE' (a text input field). There are 'Save' and 'Cancel' buttons at the bottom of the dialog. The background shows a table with columns for 'Task', 'DBE % Goal', 'Amount Paid to Prime', 'Subcontractor / DBE Flag', 'Amount Paid to Sub', 'Cum Paid to Prime', 'Cum Paid to DBE', and 'Actions'.

Figure 6.

Information must be input for each task under each agreement for which payment was made to the prime consultant each month. ***If DelDOT has paid the prime consultant for work performed or services rendered, and such payment is owed to a subcontractor that is not being reported as paid, the prime contractor must include information explaining the failure to pay the subcontractor timely.*** This information will be input in the box at the bottom of the screen. Information input in the comments box must be saved by clicking the “Save Comments” button below the box.

The screenshot shows the 'DelDOT DBE Participation Reporting Online' interface. It displays a table with columns for 'Task', 'DBE % Goal', 'Amount Paid to Prime', 'Subcontractor / DBE Flag', 'Amount Paid to Sub', 'Cum Paid to Prime', 'Cum Paid to DBE', and 'Actions'. Below the table, there is a text area for comments. The 'Save Comments' button is circled in red. At the bottom of the page, there is a note: 'NOTE: Submitting this document containing information that is not true may constitute additional criminal offenses, in addition to those set out in 17 Del.C. Ch. 6.' and buttons for 'Cancel', 'Finish Later', and 'Review and Finalize'.

Figure 7. Explanations for not paying full amount owed to any subcontractor on an agreement/task must be entered in the comments section of the report and saved.

In recognizing the amount of time completing the input process may take for agreements with many tasks, the consultant firm personnel responsible for completing the report may opt to click on the “Finish Later” button. This will save the information input to that point in an incomplete record. A screen similar to the one shown below will appear.

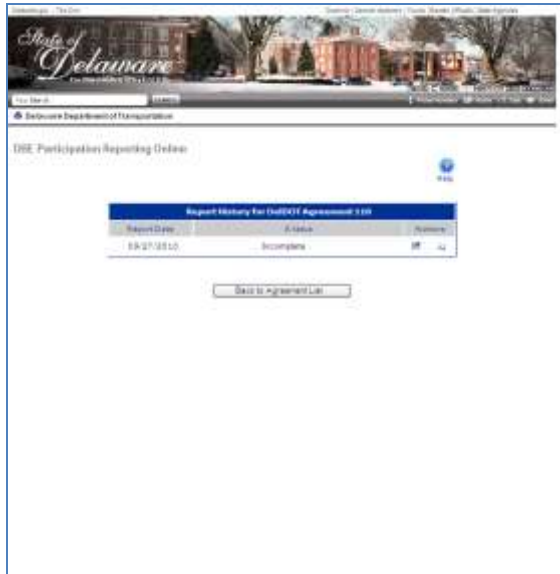


Figure 8. When a report for an agreement is incomplete, one can select from the action buttons to edit or view the incomplete report.

The consultant firm personnel responsible for completing the report can view the information input while the report is incomplete by selecting the “View” action button from the list reflecting incomplete reports. That would result in a screen similar to the one below being seen.

**Report Information**

DelDOT Agreement 110  
 Report Date: 09/27/2010  
 Consultant Name and Address:  
 Carla Elliott  
 800 S Bay Road  
 Dover, DE 19901  
 760-2553

**Specific Task Data**

Task #	Task Name	DBE % Goal	Amt Paid to Prime	Subcontractor (An asterisk (*) indicates a DBE)	Amt Paid to Sub	Cum Amt Paid to Prime	Cum Amt Paid to DBEs
1	getting started	6.0	\$1,000.00	AMEN PLUMBING & GENERAL CONTRACTING* Wile E. Coyote Engineering Inc.	\$50.00 \$275.00	\$1,000.00	\$50.00
2	State Street design	10.0	\$50,000.00	Tennis-R-Us Smith and Company*	\$7,562.00 \$8,588.00	\$50,000.00	\$5.00
3	Environmental assessment	0.0	\$8,050.00	OLD BONES LLC	\$100.00	\$8,050.00	\$0.00
4	Local activities	0.0	\$5,500.00	D F DUCK INC	\$425.00	\$0.00	\$0.00
<b>Total for Report</b>			<b>\$64,550.00</b>	<b>DBE % Participation</b>		<b>0.00%</b>	
<b>Total Cumulative for Agreement</b>				<b>DBE % Participation</b>		<b>0.08%</b>	<b>\$50,050.00 - \$50.00</b>

Close

Figure 9.



[illegible]

### Step 4

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Delaware Department of Transportation

## DBE Participation Reporting Online

Please review the information below. Click the "Submit to DoDOT" button when you are certain that all the information is complete. If you wish to make a change, click the "Go Back" button to edit the information.

### Report Information

**DoDOT Agreement 110**

**Report Date**  
08/27/2010

**Consultant Name and Address**  
Carle Elliot  
800 S Bay Road  
Dover, DE 19901  
740-3553

### Task Specific Data

Task #	Task Name	DBE % Goal	Ant Paid to Prime	Subcontractor An asterisk (*) indicates a DBE.	Ant Paid to Sub	Can Ant Paid to Prime	Can Ant Paid to DBEs
1	getting started	0.0	\$1,000.00	AMEN PAVING & GENERAL CONTRACTING* W E & Coyette Engineering Inc.	\$0.00	\$1,000.00	\$0.00
2	State Street design	10.0	\$38,000.00	Texas-Arling Smith and Company*	\$2,842.00	\$2,000.00	\$0.00
3	Environmental assessment	0.0	\$2,000.00	OLD BONES LLC	\$100.00	\$2,000.00	\$0.00
4	Local activities	0.0	\$5,000.00	F DUCK INC	\$433.00	\$0.00	\$0.00

[Go Back](#)
[Submit to DoDOT](#)

Instructions - DBE Participation Report 9/2010

If the information contained in the report for the selected agreement is accurate and complete (i.e. information provided for all tasks for which payment was made to the prime consultant and for all subcontractors on those tasks), then the “Submit to DelDOT” button should be clicked. The screen will then reflect a thank you message. (see below). By clicking on the “Back to Agreement List” button, additional input on other agreements can be made.

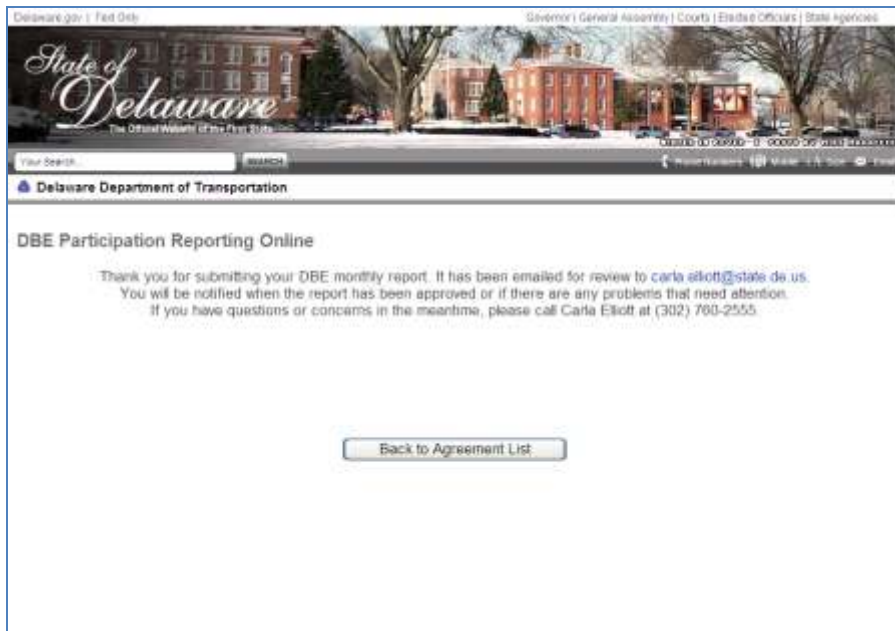


Figure 12

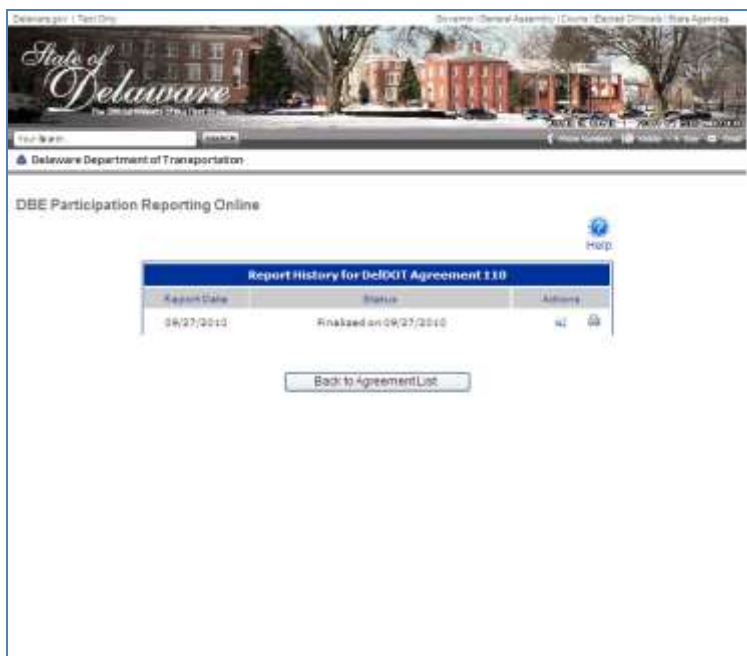


Figure 13. Selecting a report that has been finalized and submitted to DelDOT electronically will result in a screen like the one shown to the left.



## Step 5

By submitting the online report to DelDOT, the prime consultant triggers a review process at DelDOT. All such reports must be approved by DelDOT in order to become final. Any problems with the report will result in the submission being disapproved and electronically returned to the prime consultants' available queue. An e-mail will be sent upon disapproval, stating what corrective action(s) need to be taken.

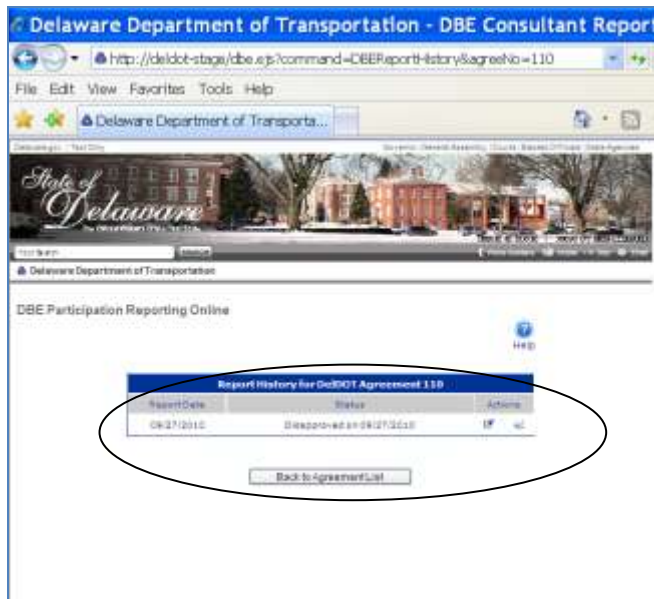


Figure 14

After making any and all corrections to the report, the consultant firm personnel responsible for completing the report should review, finalize and re-submit the report of DelDOT electronically. Once the report for a particular agreement has been finalized, a copy should be printed. This can be done by going back into the DBE PARTICIPATION REPORTING ONLINE tool, logging in, selecting the agreement and in the report history for the particular agreement click on the “Print” action button. The printed report should be signed, and dated by the appropriate prime consultant representative then notarized.

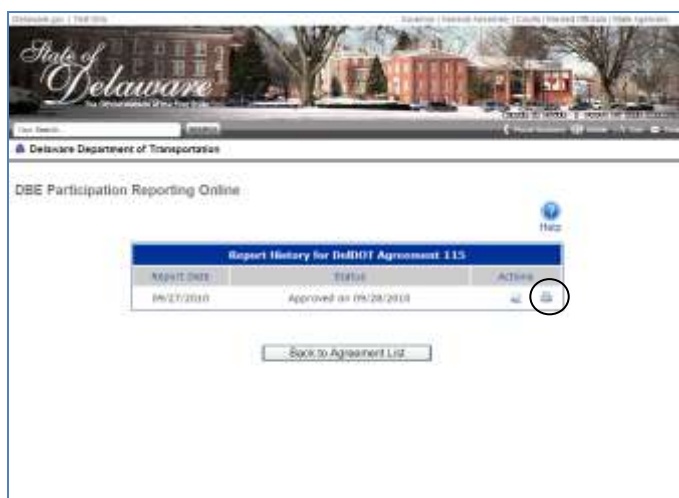


Figure 14. Clicking on the “Print” icon will generate a report similar to the one shown below.

Click to add header

<b>DBE Participation Report</b>			Return form to: Civil Rights Section 800 Bay Road PO Box 778 Dover, DE 19303		<b>DelDOT Agreement 115</b>	
<b>2. Designated Consultant Contact Info</b> <b>Name:</b> Carls Elliott <b>Phone:</b> 760-2555			<b>3. Name and Address of Prime Consultant Firm</b> Elliott's DBE Service 800 S Bay Road Dover, DE 19301			<b>4. Report Date</b> 03/27/2010
<b>5. SPECIFIC TASK DATA</b>						
<b>TASK #/TASK NAME</b>	<b>DBE Goal % Set</b>	<b>Amount Paid to Prime</b>	<b>Subconsultant (* indicates DBE)</b>	<b>Amount Paid to Sub</b>	<b>Cumulative Amount Paid to Prime</b>	<b>Cumulative Amount Paid to DBE</b>
1: Civil Rights Training development	15.0%	\$75,245.00	*Smith and Company	\$2,000.00	\$75,245.00	\$2,000.00
			Wile E. Coyote Engineering Inc.	\$650.00		
			D F DUCK INC	\$7,530.00		
			YOSEMITE SAM SUPPLIES LTD	\$150.00		
		<del>\$ 75,245.00</del>	<b>DBE Participation</b>	<b>2.66%</b>	<b>\$ 75,245.00</b>	<b>\$ 2,000.00</b>
<b>6. Prepared By (Signature and Title)</b>				<b>Date</b>		

First page of the report

The undersigned certifies that all of the provisions of Title 17, chapter 8 of the Delaware Code have been complied with. It is further acknowledged that pursuant to 17 Del. C §805, failure to comply with the aforesaid provisions is unlawful and may be punished by a fine not more than \$1000.00 or imprisonment not more than three (3) years or both.

Note: Failure to provide complete information will delay future payments until complete and accurate information is provided. If audit of payments made reveals information is incorrect, incomplete or has been falsified, the firm may be barred from bidding future work in accordance with Standard Specifications Section 102.11, Disqualification of Bidders.

Sealed and dated this \_\_\_\_\_ day of \_\_\_\_\_ in the year of our Lord two thousand and \_\_\_\_ (20\_\_)

\_\_\_\_\_  
Name of Consultant/Contractor

Corporate Seal

☐ ☐ ☐

Attest \_\_\_\_\_ By \_\_\_\_\_

SWORN TO AND SUBSCRIBED before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

Notary \_\_\_\_\_

Second or last page of report

**Step 6 –Final Action: Hard copy Submission**

To complete the reporting process, an original signed and sealed printed report must be sent to:

Civil Rights Section  
DelDOT  
P. O. Box 778  
800 Bay Road  
Dover, DE, 19903

**NOTE: FAILURE TO SUBMIT COMPLETE INFORMATION CONSTITUTES FAILURE TO COMPLY WITH A FEDERALLY MANDATED REQUEST FOR INFORMATION. SANCTIONS MAY BE IMPOSED FOR NON-COMPLIANCE.**

When problems with the DBE PARTICIPATION REPORTING ONLINE tool are encountered, contact should first be made with Amy Miller, DBE Administrative Specialist at 302-760-2035.